

# **3 FAH-1 H-2800 PERFORMANCE MANAGEMENT**

## **3 FAH-1 H-2810 PERSONNEL EVALUATION – PROCEDURES**

*(TL:POH-45; 10-24-1997)*

### **3 FAH-1 H-2811 ADMINISTRATIVE RESPONSIBILITIES**

#### **3 FAH-1 H-2811.1 Director of the Office of Performance Evaluation (PER/PE)**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

The Director, PER/PE, is responsible for:

- The development and administration of the Department's performance evaluation program for members of the Foreign Service;
- The review of all evaluation material that is incorporated into personnel files.

#### **3 FAH-1 H-2811.2 Executive Directors/Officers in the Department**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

Executive directors/officers in the Department assist PER/PE in administering the performance evaluation program. Their responsibilities include:

(1) Designating a rating officer when a normal supervisory situation does not pertain or when a supervisor cannot prepare a rating designating a reviewing officer in similar situations.

(2) Instructing rating and reviewing officers on evaluation and ensuring that pertinent regulations and instructions are made available to them.

(3) Ensuring that work requirements statements and position descriptions are formulated in a timely manner and evaluating performance requirements for uniformity among positions.

(4) Obtaining evaluation reports from rating and reviewing officers and rated members, and ensuring timely compliance with evaluation report schedules.

(5) Informing the Office of Performance Evaluation of rating and reviewing officers and rated members responsible for delinquent evaluation reports.

(6) Establishing review panels to assure compliance with instructions for the preparation of the Employee Evaluation Report (EER) and uniform standards in performance evaluation.

### **3 FAH-1 H-2811.3 Principal Officers at Posts Abroad**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

The provisions of 3 FAH-1 H-2811.2 paragraphs a through f apply.

## **3 FAH-1 H-2812 OFFICIAL PERSONNEL FOLDER**

### **3 FAH-1 H-2812.1 General**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. The Official Personnel Folder (OPF) of members of the Foreign Service is in two parts: the Foreign Service Official (Administrative) Personnel Folder, which contains personnel actions and related documentation, and the Official Foreign Service Performance Folder, which contains documents that provide information on and an evaluation of the member's performance (3 FAM 2350 and 3 FAH-1 H-2350).

b. The contents of the Foreign Service OPF are protected by the Privacy Act (5 U.S.C. 552a), and by section 604 of the Foreign Service Act of 1980. Rules governing access to the Department's personnel records are contained in 3 FAM 2350.

c. The Director General or the Deputy Assistant Secretary for Personnel is authorized to amend, explain, supplement, or remove material in a member's OPF, including evaluation reports and inspectors' reports, where either of these officials has determined that such action is justified to correct an error or remove or prevent an injustice. Any such action must be justified in writing, and the member must be informed. The member will be supplied promptly with copies of all such materials added to the file and will be given an opportunity to submit a response or offer a rebuttal to such documents for inclusion in the file.

### **3 FAH-1 H-2812.2 Submission of Material by Member for Official Personnel Folder**

#### **3 FAH-1 H-2812.2-1 Responsibility of Rating Officer**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

Evaluation of a member's performance is the responsibility of the rating officer. Evaluative material in the form of letters, memoranda, etc., received on a member will be returned to the sender, or forwarded to the rating officer or rated member, and will not be placed in the member's OPF. The rating officer should draw from such material as appropriate in drafting the evaluation report. (Awards will be filed in the OPF; 3 FAM 4800 and 3 FAH-1 H-4800).

#### **3 FAH-1 H-2812.2-2 Material Submitted by Member**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

A member may at any time submit unclassified material related to performance to PER/PE with a request that it be included in the member's OPF. Such material may include:

(1) Information to clarify or refute statements in the record that a member considers unfair, incomplete, or misleading;

(2) Letters from members of Congress, executive officials, or other persons commending a member of the Foreign Service for a particular act of which the writer has personal knowledge. Letters of commendation and similar material may be included in a member's OPF only at the request of the member and will be filed on the left side of the OPF; and/or

(3) Evaluative memoranda, TDY memoranda, and other evaluative material from the most recent rating period which is not in a form acceptable for filing as a formal evaluation report. Such material will, in

special circumstances, be considered for filing in the OPF, if it is otherwise admissible and has not been adequately reflected in an evaluation report received for the period. Such material may not be attached to the evaluation report, but, if accepted, will be filed on the left side of the OPF.

(4) Material submitted for inclusion which is prejudicial to another individual will be made available to that person for comment before a determination is made as to its suitability of inclusion in the file.

### **3 FAH-1 H-2812.2-3 Material Derived from Prior Federal Employment**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

Transfer of prior employment performance files from other Federal agencies is governed by the following procedures:

#### **A. USIA, Foreign Agricultural Service (FAS); and Foreign Commercial Service (FCS)**

When a Foreign Service member of USIA, FAS, or FCS officially transfers (SF-50) to State Foreign Service, the member's performance file is transferred automatically and becomes part of the member's State OPF (and vice versa). However, the performance files of new appointees from those agencies are not automatically transferred to the member's State OPF. New appointees who were formerly employed by USIA, FAS, or FCS may request to PER/EX/ADM/RM that their performance file from those agencies become part of the member's State OPF.

#### **B. USAID**

When a USAID Foreign Service member transfers to State Foreign Service, the member's performance file may be made part of the State OPF only at the member's request (and vice versa).

#### **C. State Civil Service**

When a State Civil Service employee changes status to Foreign Service, the employee's Civil Service performance material for the last four years becomes part of the OPF.

#### **D. Other Federal Agencies**

Evaluation material from Federal agencies, other than those mentioned in section 3 FAH 1 H-2812.2-3 paragraphs a through c does not routinely become part of the Foreign Service OPF. Members with prior Federal experience which is relevant to their positions in the Foreign Service may request that their official evaluation reports be included in the OPF. PER/PE will review, and accept for filing on the left side of the OPF, only recent appraisals and letters of commendation which are relevant to the employee's position in the Foreign Service. PER/PE will consider relevancy, length, timeliness, and completeness of documents in deciding on admissibility.

#### **E. General Rule**

Material which is so out of date or extraneous to Foreign Service responsibilities as to be of questionable utility or which is so lengthy as to make review and filing impractical, will not be accepted. Material must also be chronologically complete; that is, excerpts from reports where negative comments may have been deleted will not be allowed.

#### **3 FAH-1 H-2812.2-4 Material Derived from Non-Federal Employment**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. Performance evaluation material from prior private or non-Federal government employment is not accepted for filing in the OPF.

b. All employees joining the Foreign Service on or after January 1, 1978, with relevant prior Federal or non-Federal government work experience may submit a resume containing experience history, to PER/PE for incorporation in their State OPF. The document will be reviewed to ensure that it complies with Department regulations regarding evaluation material and will be amended if necessary to delete inadmissible comments before filing in the OPF on the left side of the folder.

# **3 FAH-1 H-2813 DESIGNATION OF RATING AND REVIEWING OFFICERS**

## **3 FAH-1 H-2813.1 Policy**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. The designation of rating and reviewing officers must be made at the beginning of the rating period and the rated member advised.

b. The rating officer must be the rated member's supervisor, except under unusual circumstances. If the question of who shall rate the member arises, the appropriate executive director/officer in the Department or the principal officer at posts abroad shall decide. If conditions require the

preparation of the report by someone (other than the supervisor) designated by the appropriate executive director/officer or principal officer, the circumstances shall be explained on the report form and the rated member/rating officer relationship clearly described.

c. The reviewing officer will usually be the rating officer's supervisor. However, the decision as to who shall be the reviewing officer rests with the appropriate executive director/officer in the Department or the principal officer at posts abroad. In cases where there is no officer senior to the rating officer with sufficient knowledge of the member's performance to carry out the reviewing function, the circumstances must be explained on the rating form. Reviewing officers should acquaint themselves with employees whose ratings they review and to develop personal knowledge of their performance.

d. When a member is assigned to another agency or organization in the United States or abroad, or is working with another agency element of a U.S. mission, the responsible officer in the Department or at post should seek to ensure, whenever feasible, that the employee is rated or reviewed by a Foreign Service Officer (3 FAH 1 H-2813.6).

## **3 FAH-1 H-2813.2 Subordinate Posts Abroad**

### **3 FAH-1 H-2813.2-1 For Principal Officers at Subordinate Posts**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. A principal officer at a subordinate post is rated by the chief of mission, deputy chief of mission, or other rating officer designated by the chief of mission.

b. Other senior officials in the embassy having knowledge of the performance of the principal officer should prepare evaluative memoranda for the information and guidance of the rating officer. The rating officer should draw from these memoranda, as appropriate; they should not be attached to the evaluation report or submitted separately in lieu of a regular evaluation report.

c. The evaluation report should be reviewed by the chief of mission or the DCM, as appropriate.

### **3 FAH-1 H-2813.2-2 Review of Subordinate Post Reports**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

The evaluation reports prepared on other members at subordinate posts where there are no appropriate reviewing officers should be reviewed at embassy level, if there is an embassy employee with sufficient knowledge of the member's performance to prepare an effective reviewing statement. Every effort should be made to ensure that reviewing statements are prepared for all members at subordinate posts.

## **3 FAH-1 H--2813.3 For Regional Personnel**

### **3 FAH-1 H-2813.3-1 Policy**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

It is the policy of the Department that regional members (members who serve more than one post, members whose work is not supervised solely by one post, and/or members housed at post but directed and supervised by the Department or a regional office) be evaluated by the individuals in the field or the Department who supervise and/or are most knowledgeable of the mission, assignments, and actual work performance of these members.

### **3 FAH-1 H-2813.3-2 Selecting Rating and Reviewing Officials**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. The executive director/officer of the bureau or office in the Department responsible for the program which the member supports (such as Office of Medical Services (M/DGP/MED) for doctors and nurses, Information Services for information management personnel, Bureau of Diplomatic Security for security officers, Foreign Buildings Operations for construction engineers/architects or project supervisors) will determine the rating and reviewing officials for each regional member.

b. The rating officer may be an appropriate officer at post of assignment, a regional supervisor, or the responsible supervisory officer in the Department.

c. The reviewing officer may be the next ranking supervisory officer or an appropriate officer of the post, region, or Department sufficiently knowledgeable of the rated member's performance and the relationship between the member and rating officer to carry out review responsibilities effectively.

### **3 FAH-1 H-2813.3-3 Establishing Procedures**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

The responsible executive director/officer will establish procedures applicable to all regional members in similar categories for promptly identifying rating and reviewing officers and notifying them and the rated member of their designation.



### **3 FAH-1 H-2813.3-4 Informing Member of Rating and Reviewing Officers**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. The names of the rating and review officers will be communicated to the member and to the administrative officer of the post of assignment by the executive director/officer at the time the assignment is made or within 15 days of the member's arrival at duty station.

b. Should differences arise among the appropriate executive director/officer, rated member, and/or post of assignment as to the proper rating or reviewing officer which cannot be resolved among them, the question will be submitted to the Office of Performance Evaluation (PER/PE) for decision. Decisions will be based on the criteria in sections 3 FAH-1 H-2813.3-1 and 3 FAH-1 H-2813.3-2. The views of rated members will be requested and considered in each case.

### **3 FAH-1 H-2813.3-5 Background Material**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. Posts serviced by regional personnel will submit as appropriate, evaluation memoranda to the rating officer for use in preparing the evaluation report.

b. Where technical aspects of performance cannot be appropriately covered by the designated rating officer, a supplementary evaluation report on the approved form may be submitted by a supervisor with technical expertise.

### **3 FAH-1 H-2813.3-6 Ensuring Timely Evaluation**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

The appropriate executive director/officer, with the assistance of the post of assignment, will ensure that all aspects of the performance evaluation process, including establishing agreed work requirements, periodic work progress counseling, and effective evaluation, are carried out in a timely manner.

### **3 FAH-1 H-2813.3-7 Review by PER/PE**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

The Office of Performance Evaluation (PER/PE) will periodically review individual office/bureau implementation of the policy (3 FAH-1 H-2813.3-1) to assure that there is adequate communication between rating and reviewing officers and rated members, timely completion of reports, and appropriate periodic counseling and supervision of rated members.

### **3 FAH-1 H-2813.4 For Chiefs of Mission**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

The assistant secretary of the appropriate geographic bureau is responsible for preparing evaluation reports on the chiefs of mission within the geographic area. The Employee Evaluation Report, form DS-1829, must be used.

### **3 FAH-1 H-2813.5 For Chargé d’Affaires ad Interim**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. It is the responsibility of the appropriate geographic bureau to prepare evaluation reports on members serving as chargé d’affaires ad interim, unless there is an ambassador accredited to, but not resident at, the post.

b. In cases where a member is serving as chargé at a post where there is an ambassador accredited, but not resident, it is the responsibility of the ambassador to prepare the evaluation report and the appropriate geographic bureau to review it.

c. Such evaluation reports should be prepared when the member has served as chargé for 90 nonconsecutive days or more, or 60 consecutive days or more during an annual or interim rating period. The evaluation report may be prepared on form DS-1829 or by memorandum.

## **3 FAH-1 H-2813.6 Members of the Foreign Service Assigned to Out-of-Agency Details**

### **3 FAH-1 H-2813.6-1 Policy and Responsibility**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. Evaluation of members of the Foreign Service assigned to details out-of-agency (detailees) will be governed by 3 FAM 2810 and this subchapter.

b. Administration of performance evaluation of detailees is the responsibility of the Office of Career Development and Assignments (PER/CDA).

c. Unless specifically authorized by PER/CDA, no detail assignment will be made without the agreement of the host organization that the performance of the Foreign Service detailee will be evaluated in accordance with Department regulations.

### **3 FAH-1 H-2813.6-2 Designation of Rating and Reviewing Officers**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. To the fullest extent practicable, detailees will be rated and/or reviewed by a member of the Foreign Service.

b. If in the judgment of PER/CDA, a Foreign Service member who is not in the chain of supervision will have the knowledge and understanding to act as reviewing officer for a detailee, that member may be so designated with the concurrence of the rated member.

c. Rating and reviewing officers will be designated at the outset of the rating period and the detailee so informed.

d. Detailees assigned outside the United States will be rated or reviewed by a member of the Foreign Service to the fullest extent practicable. Where this is not possible, particular care will be taken by PER/CDA to ensure that the responsible rating and reviewing officials are fully informed concerning the requirements and standards of EER completion. The rated member is also encouraged to report fully on the work experience and its relevance to the Foreign Service and his/her career interest.

### **3 FAH-1 H-2813.6-3 Detailees in the U.S. Not Rated or Reviewed by Members of the Foreign Service**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

Detailees who are not rated or reviewed by a member of the Foreign Service will require a DER if their EER is found to be deficient by a review panel. Additionally, the Director General may direct a DER in the interest of justice or, alternatively may request that a special Inspector's Evaluation Report (IER) be prepared where this can be accomplished feasibly and under the conditions outlined in 3 FAM 2810. DER's will be prepared by a career member of the Foreign Service under the following guidelines:

(1) Annually, PER/CDA/SL/CDT will organize a review panel chaired by the Deputy Director of PER/CDA to review EER's of detailees for compliance with regulations and overall quality.

(2) A team of Foreign Service Detail Evaluators (FSDE) will be organized annually by PER/CDA to prepare the DER's on detailees with EER's found to be deficient by the review panel. FSDE's will be selected on the basis of outstanding performance, experience, and reputation for good judgment and impartiality.

(3) The end of the rating period for detailees is March 15. The regular EER will be completed, reviewed, shown to the detailee, and forwarded to PER/CDA by April 15. For detailees whose assignment ends prior to March 15, EER's will be completed and submitted within 30 days of the end of the assignment.

(4) To the fullest extent practicable, EER's of detailees will be evaluated by an FSDE who is (a) at least one grade higher than the detailee and (b) experienced in the same cone or occupational category as the detailee.

(5) In conducting an evaluation, the FSDE will review the detailee's regular EER prepared for the period, visit the work site of the detailee where practicable and discuss the detailee's performance with the detailee, and to the extent possible, the detailee's rating and reviewing officials.

(6) FSDE evaluations will take place between March 15 and June 15. DER's will be completed, shown to the detailee, reviewed in PER/CDA, and submitted to PER/PE within 10 days of the completion of the evaluation.

(7) The FSDE evaluation will comment on the fairness and accuracy of the regular EER and any special circumstances affecting the performance of the supervisory relationship of the detailee. Utilizing the initial EER and comments from the ratee, rater, and reviewing official, the DER will cover aspects of the performance particularly relevant to the Foreign Service career of the detailee and will include an assessment of the potential of the detailee for higher responsibilities.

(8) FSDE's will preserve the confidentiality of all information received in connection with the evaluation they conduct and carry out their duties with objectivity and impartiality and in accordance with these regulations. Should FSDE's have documents or recommendations concerning the nature and utility of the assignment independent of the detailee's performance, they should make this information available to PER/CDA by separate memorandum.

(9) A detailee who has not served on detail 120 days as of March 15 will not be evaluated in connection with the FSDE cycle (nor will a regular EER be completed at the time). The detailee's performance will be evaluated at the end of the detail in accordance with 3 FAM 2813.4, Interim Reports. An FSDE evaluation will also be prepared at that time or in connection with the first subsequent FSDE cycle, unless such an evaluation proves to be impractical.

### **3 FAH-1 H-2814 RATING PERIOD**

#### **3 FAH-1 H-2814.1 Regular Reports**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. The annual rating period for members shall extend from April 16 to April 15 of the following year, except for Junior FSO Career Candidates who are evaluated one year after assumption of duties (3 FAM 2813.3).

b. Evaluation reports are due in PER/PE on or before May 15; for Junior FSO Career Candidates, reports are due 30 days after the end of the rating period.

c. Where no regular evaluation report is prepared because the period to be covered is less than 120 days as of April 15, the unrated period should be added to the next rating period beginning April 16 and be included in calculating the 120-day period for any required interim evaluation report (3 FAM 2813.4). The first interim or regular evaluation report prepared where there has been continuous supervised work experience bridging the two rating periods should evaluate the full period of performance.

d. Regular evaluation reports are required for members planning to resign or who retire after the end of the rating period, except for those members who are involuntarily retiring based on age, unless requested in writing by the member.

e. No regular evaluation report is required when a member's time-in-class (TIC) has expired but who has not yet separated from the Service, unless requested in writing by the member prior to the end of the rating period, except for those members who fall under the excepted annuity provisions of 3 FAM 6213.4.

### **3 FAH-1 H-2814.2 Interim Reports**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. No interim evaluation report is required when a member retires or resigns during the rating period, unless requested in writing by the member (3 FAM 2813.4).

b. No interim evaluation report is required when a member's time-in-class (TIC) has expired but who has not yet separated from the Service, unless requested in writing by the member, except for those members who fall under the annuity exception provisions of 3 FAM 6213.4.

#### **3 FAH-1 H-2814.2-1 Voluntary Report**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. Even when an interim report is not required, a voluntary report may be submitted.

b. Voluntary reports are encouraged whenever significant elements of performance are involved or the rated member may face a substantial period of undocumented performance.

c. Form DS-1829 should be used, if feasible, but voluntary reports may be prepared in memorandum form.

### **3 FAH-1 H-2814.2-2 Post/Bureau Requests Reassignment**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

When a post or bureau requests that an employee be reassigned and that action is subsequently taken, the post or bureau must submit within 30 days of such reassignment an interim evaluation report documenting the member's performance, regardless of the time involved. Form DS-1829 or a memorandum (if period covered is less than 120 days) must be prepared and the evaluation report must state the reasons for the request and subsequent reassignment.

### **3 FAH-1 H-2814.3 Unsatisfactory Rating**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. A rating officer may not assign an overall rating of unsatisfactory to an interim or regular evaluation report unless the rated member has previously been advised of the areas of performance which are inadequate and has been given a reasonable opportunity (ordinarily 30 to 60 days) and adequate guidance to remedy the deficiencies. If a reasonable opportunity has not been provided as of the end of the regular rating period, the scheduled rating may be delayed for up to 60 days to provide an opportunity for improvement.

b. For procedures that apply to unsatisfactory ratings of career candidates and members subject to administrative promotions, see 3 FAH-1 H-2320 (Promotion of Members of the Foreign Service), 3 FAH-1 H-2240 (FSO Career Candidates) and 3 FAH-1 H-2250 (Specialist Career Candidates).

### **3 FAH-1 H-2814.4 Length of Evaluation Report**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. Written comments in any evaluation report may not extend beyond the space allowed unless the instructions to the evaluation report expressly authorize extensions.

- Ordinarily, only rated members and review panels may use extension sheets.

- PER/PE will return evaluation reports which violate this restriction for revision, time permitting, or delete unauthorized extensions and advise the originating post or bureau.

b. The assistant secretary or chief of mission of the bureau or post at which the rated member has been assigned during the period rated may attach to an evaluation report on which that official was not the rating or reviewing officer, a supplementary comment on performance during the period or on potential. This authority is limited to chiefs of mission, assistant secretaries, and officers in compared positions, including chargés and acting assistant secretaries who were in their positions at the end of the period rated and for a sufficient time during the rating period for a dependable, independent observation of the member's performance and/or potential.

c. Except as otherwise expressly authorized, attachments may not be included with an evaluation report.

### **3 FAH-1 H-2814.5 Report Categories and Scheduling**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

<b>Report Category</b>	<b>Form No</b>	<b>Regular Rating Period Ends</b>	<b>Due in PER/PE</b>
a. U.S. Foreign Service Employee Evaluation Reports (All members of the Service except as noted in 3 FAM 2813.2); Interim Reports - see 3 FAM 2813.4.	DS-1829	April 15 (for Junior FSO Career Candidates, 1 year from EOD at post)	May 15 (for Junior FSO Career Candidates, 30 days after period ends)
b. Supplemental Evaluation Report for Medical Personnel (3 FAM 2813.6)	DS-1948	April 15	May 15
c. Training Evaluation Report (3 FAM 2813.7-1)	DS-1106	At end of training	20 days after period ends
d. Report of Training in Language/Area Skills and Achievements (3 FAM 2813.7-2)	DS-651	At end of training	20 days after training period ends



e. Inspector's Evaluation Report (3 FAM 2813.5)	DS-917	As required	30 days after completion
f. Detail Evaluation Report (3 FAM 2813.6)	DS-1822	March 15	10 days following FSDE evaluation
g. Foreign Service Employee Evaluation Reports for Junior Officer Career Candidates (3 FAM 2244.3)	DS-1829	Anniversary or their assumption of current position unless a change has occurred in the interim	30 days after period ends

## **3 FAH-1 H-2815 RESPONSIBILITIES OF RATING AND REVIEWING OFFICERS**

### **3 FAH-1 H-2815.1 General Responsibilities**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. Objectivity in evaluation reports is achieved only if there is an understanding between rating officer and subordinate about the requirements of the position.

- A description of the member's duties should be agreed in writing within 45 days of the beginning of the rating period and amended, as necessary, with each change of assignment, assumption of additional duties, or other circumstances which warrant a review of performance against the standard of work expected of the member.
- Where agreement between rating officer and subordinates concerning the work requirements cannot be reached, the rating officer should establish the requirements after discussion with the member and provide a copy of them to the member.
- Rating officers are expected to review performance with subordinates at least twice in the course of the year.

b. Decisions on tenure, promotion, within-class salary increases, assignments, performance pay, and separations are affected by evaluation reports. Careless, incomplete, biased, or evasive evaluation reports can be detrimental to a member's career and misleading to management.

c. Selection boards are instructed to evaluate, among other things, an officer's performance as a rating or reviewing officer. Their written criticisms of reports prepared by rating and reviewing officers will be included in the performance folders of those officers. PER/PE will send a copy of such a criticism to the officer concerned. A list of rating and reviewing officers who are commended will be made available to selection boards.

d. Rating and reviewing officers may discuss the member's performance and the Employee Evaluation Report, but their individual comments must reflect their own separate and independent views.

e. Before preparing an EER, the rating and reviewing officers should review the most recent selection board precepts (3 FAH-1 H-2320).

f. For the special responsibilities of rating and reviewing officers concerning career candidates, 3 FAM 2240 (FSO Career Candidates) and 3 FAM 2250 (Specialist Career Candidates) and related subchapters in the Personnel Operations Handbook.

### **3 FAH-1 H-2815.2 Rating Officers**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

In addition to the responsibilities outlined in 3 FAH-1 H-2815.1, rating officers are responsible for:

(1) Ensuring that subordinates have a clear understanding of their duties and of the requirements for satisfactory performance.

(2) Discussing on a periodic basis throughout the rating period the rating member's strengths and weaknesses, and ways to improve their performance, enhance their professional development, and increase their opportunities for career advancement.

(3) Recognizing superior performance in the evaluation report and through appropriate use of awards.

(4) Preparing periodically in writing an EER, evaluating each subordinate against the requirements of the job.

(5) Discussing fully and frankly the contents of the report with the rated member. This is particularly important if the report contains critical judgments.

(6) Documenting in the evaluation report aspects of performance which are seriously weak or unsatisfactory. This does not relieve the rating officer of the responsibility to take appropriate action toward members whose performance or behavior indicates the need for special counseling, medical treatment, or disciplinary action.

### **3 FAH-1 H-2815.3 Reviewing Officers**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

In addition to those responsibilities outlined in 3 FAH-1 H-2815.1, reviewing officers are responsible for:

(1) Reporting their evaluation of members based on personal observations. They must take measures to become familiar enough with the work of rated members to set forth independent observations on performance and potential.

(2) Assuring that rating officers are familiar with the evaluation program, are meeting their supervisory and evaluation obligations, and are applying uniform rating standards to rated members.

(3) Assuring that the work requirements of positions are fair, reasonable and comparable to those of other like positions.

(4) Discussing the rated member's performance upon request of the member or rating officer or on own initiative.

(5) Reviewing the evaluation reports for thoroughness, objectivity, soundness, and compliance with evaluation instructions.

(6) Stating whether the member has received adequate supervision and guidance, whether the report by the rating officer appears unduly strict or lenient and whether there is concurrence with the evaluation report.

### **3 FAH-1 H-2815.4 Departure of Rating and Reviewing Officers and Rated Member**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. Rating officers are responsible for preparing all required evaluation reports (regular or interim) before their departure from a post or bureau and before the departure of the rated member. Evaluation reports should be prepared in time to permit their completion and discussion by all participants while all are still present.

b. Before departure, reviewing officers will complete their statements on all evaluation reports due at that time. Reviewing officers are also encouraged, where they have served as reviewer for a substantial portion of a rating period but are departing before a rating is due, to leave a memorandum of their observations to be drawn from, as appropriate, by the successor reviewing officer when the evaluation report for the full period, including their incumbency, is prepared.

c. Executive directors/officers and principal officers will assure that rating and reviewing officers who are scheduled to leave a bureau or post on reassignment, retirement, or resignation have completed all required evaluation reports before clearing the officer for departure. Assistant secretaries, chiefs of mission, and other officers in senior positions are expected to assure this important duty is carried out properly by their subordinates and themselves.

### **3 FAH-1 H-2816 RIGHTS AND RESPONSIBILITIES OF RATED MEMBERS**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

Rated members have the following rights and responsibilities:

- To participate with the rating officer in the formulation of the statement of work requirements, goals, and responsibilities to the extent necessary to ensure understanding by both parties of what will constitute successful performance.
- To meet periodically with the rating officer to discuss performance and ways of improving it.

- To include in the evaluation report one's own views of the job and performance and, if desired, one's comments on the evaluation report and on career prospects, training, and assignment preferences.

## **3 FAH-1 H-2817 REVIEW, REBUTTALS, AND APPEALS**

### **3 FAH-1 H-2817.1 Review Panels**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. Bureaus in the Department and posts abroad with 10 or more State Foreign Service members are to establish review panels.

b. Evaluation reports from posts with fewer than 10 members, or where the appropriate executive director/officer or principal officer determines that establishment of a panel is impracticable, must be reviewed by the appropriate executive director/officer or principal officer or their deputies.

c. Evaluation reports prepared at subordinate posts abroad which are too small to establish review panels are to be sent to the embassy's review panel.

d. Chiefs of mission, assistant secretaries, and their equivalents may elect not to submit to review panels the evaluation reports they prepare on their deputies.

e. The responsibilities of review panels include:

(1) Checking evaluation reports for adequacy, consistency, inadmissible comments, and conformity with the Instructions for Preparation of the EER and regulations;

(2) Suggesting that a poorly prepared or insufficiently documented evaluation report, or one containing discrepancies or inconsistencies, be revised (if attempts to have deficiencies corrected are unsuccessful, the panel should describe the circumstances on the evaluation form); and

(3) Identifying on the evaluation report officers responsible for its late submission.

f. If review panels discover inadmissible comments in evaluation reports, they will first seek to have the evaluation report corrected. If this is not possible, panels will make deletions or substitutions and inform the member concerned before submitting the evaluation report to PER/PE.

g. Where evaluation reports are revised at review panel request or the panel makes comment beyond normal approval, the evaluation report should again be shown to the rated member.

### **3 FAH-1 H-2817.2 Rebuttals and Appeals**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. A member who wishes to rebut or appeal an evaluation report should, in most instances, first discuss it with the rating and reviewing officers. If one or both of these officers agree to revise the evaluation report, the appropriate changes shall be made on all copies. Revision cannot be made after the selection boards have convened and reviewed the evaluation report, except through the grievance procedures as provided in 3 FAM 4400.

b. A member who fails to obtain satisfaction after discussion with the rating and reviewing officers may use the appropriate section of the EER to refute statements in the record which, for example, the member considers to be based on incomplete data or on limited observation, or to be unfair. Additional pages may be appended for this purpose.

c. Rating and reviewing officers are entitled to read the rated member's comments.

d. If a member's statement contains negative or pejorative comments concerning the review panel or the rating or reviewing officer or raises significant questions of fact central to the evaluation report, PER/PE may invite the rating or reviewing officer or review panel, as appropriate, to comment on those aspects of the statement. Any such comments will be shown to the rated member, who will be given the opportunity to make a final statement. These supplemental statements will be attached to the evaluation report.

## **3 FAH-1 H-2818 RATING AND REVIEWING FAMILY MEMBERS**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

The 3 FAM 2420 provides that no member of a working family shall exercise supervisory responsibilities over another member of the same family. This prohibition includes acting as rating or reviewing officer on evaluation reports.

## **3 FAH-1 H-2819 SUBMISSION, USE, DISCLOSURE, AND DISPOSITION OF REPORTS**

### **3 FAH-1 H-2819.1 Submission of Reports**

#### **3 FAH-1 H-2819.1-1 Responsibility**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. Principal officers and executive directors/officers are responsible for the prompt submission of evaluation reports to PER/PE.

b. The rated member has 10 calendar days from receipt of the evaluation report in which to acknowledge receipt by signing it. The member's signature does not denote either concurrence or nonconcurrence with the rating. If after the end of the 10 day period the member has not signed the evaluation report, the principal officer abroad or executive director/officer of the bureau shall send the unsigned evaluation report to PER/PE for inclusion in the member's performance folder, along with a covering memorandum explaining steps taken to obtain the signature of the rated member. Submission of evaluation reports should not be delayed beyond the 10-day period by the member's refusal to sign the evaluation report.

c. Rated member comments and signatures not completed on a timely basis may be submitted subsequently and will be added to the evaluation report in place of the incomplete page.

### 3 FAH-1 H-2819.1-2 Certification of Submission

(TL:POH-45; 10-24-1997)

(State Only)

(Applies to Foreign Service Only)

a. Each post abroad and each bureau in the Department will transmit to PER/PE on the due dates shown in 3 FAH-1 H-2814 a certification stating that all required evaluation reports have been submitted to PER/PE or, if this is not the case, identifying those members on whom evaluation reports have not been submitted and indicating *explicitly and unequivocally* who is responsible for the delinquency.

b. These certifications, which may be transmitted by memorandum or telegram should be in accordance with the following format:

“TAGS: APER”

“SUBJECT: SUBMISSION OF EMPLOYEE EVALUATION REPORTS”

“This is to certify that as of (appropriate due date, month, day, year) all required Employee Evaluation Reports have been submitted to the Office of Performance Evaluation (PER/PE), except as noted below”:

Name of Rated Member	Name of Rating Officer	Name of Reviewing Officer	Reasons for Nonsubmission
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In the case of posts abroad, a copy of the certification should be forwarded to the executive director of the appropriate regional bureau.

### 3 FAH-1 H-2819.1-3 Delinquent Reports

(TL:POH-45; 10-24-1997)

(State Only)

(Applies to Foreign Service Only)

a. Executive directors/officers and principal officers will take appropriate action to expedite the submission of delinquent evaluation reports. PER/PE will promptly inform the respective executive directors/officers and principal officers of those evaluation reports certified by them as having been submitted which have not been received.

b. Executive directors/officers and principal officers are responsible for informing PER/PE of officers responsible for delinquent evaluation reports in accordance with 3 FAM 2810 and this subchapter.



c. PER/PE shall annotate the file of any member (rating officer, reviewing officer, and rated member) participating in the evaluation process who is identified as delinquent in preparing or forwarding evaluation reports to PER/PE. Such delinquencies will be brought to the attention of the selection and tenuring boards. In those instances where the officer responsible for a delinquent evaluation report is not identified, the performance file of the principal officer of the post or executive director/officer within the Department who is responsible for submitting the evaluation report as required by 3 FAH-1 H-2819.1-1 paragraph a will be annotated.

d. A copy of any memorandum of delinquency to be included in a member's performance file will be provided to the member. The member may submit comments relating to the memorandum, which also will be included in the performance file.

e. Any member responsible for a delinquent evaluation report will not be eligible to receive a Presidential Award, Performance Pay, or a Meritorious Service Increases during the twelve months following the due date of the delinquent evaluation report.

f. Inspectors will also be informed of those posts and bureaus that are delinquent in submitting evaluation reports and will make special inquiries into the circumstances surrounding the delinquency during the next visit to the post or inspection of the bureau.

## **3 FAH-1 H-2819.2 Disposition of Reports**

### **3 FAH-1 H-2819.2-1 At Time of Preparation**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. The original of the evaluation report should be forwarded to the Department in a registered, sealed envelope marked, "Foreign Service Evaluation Report, Office of Performance Evaluation (PER/PE)."

b. The original is placed in the rated member's performance folder.

c. A copy of the report is to be maintained at the post or bureau.

d. A copy of the evaluation report is to be given to the rated member; if the member leaves the post or bureau before the evaluation report is completed, the post or bureau must promptly forward a copy to the member. Rating and reviewing officers sign only the original copy of the evaluation report.

### **3 FAH-1 H-2819.2-2 At Time of Transfer or Reassignment of Rated Member**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

Duplicate copies of evaluation reports on members permanently transferred from the post or bureau shall be retained in the post or bureau files for one year and then destroyed. Such evaluation reports should not be made available to succeeding rating and reviewing officers.

### **3 FAH-1 H-2819.3 Use of Reports**

#### **3 FAH-1 H-2819.3-1 To Review Duties and Performance Requirements**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

The evaluation process provides an opportunity for the supervisor to discuss with the subordinate the duties and the performance requirements of the position. Good supervision requires that supervisor and subordinate achieve a mutual understanding of what is expected of the subordinate. This should be a periodic activity, and not one limited to the beginning or the end of the rating period. It should include discussion of the member's performance in the position.

#### **3 FAH-1 H-2819.3-2 Basis for Awards and Meritorious Service Increases**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

Ordinarily, evaluation reports do not, in themselves, serve as a basis for awards or Meritorious Service Increases. However, selection boards may, under their precepts, recommend Meritorious Service Increases on the basis of the performance record. Rating officers and others should independently recommend members for awards (3 FAM 4800) or Meritorious Service Increases (3 FAM 3120). A rating officer should, however, consider whether:

- The evaluation report which has been prepared indicates that the member is deserving of a recommendation for an award or Meritorious Service Increase; or

- Having recommended an award or a Meritorious Service Increase, that the member's evaluation report justifies such recommendation.

### **3 FAH-1 H-2819.4 Disclosure of Evaluation Reports**

*(TL:POH-45; 10-15-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

Access to evaluation reports is restricted to persons who have a legitimate need to see them, as provided in 3 FAM 2352.4. Members may review their own performance folders by arrangement with their career assignments officer the Office of Career Development and Assignments (PER/CDA) or under the Privacy Act, by writing to the Director, Office of Freedom of Information, Privacy, and Classification Review (A/IM/IPF), Room 1239, Department of State.

### **3 FAH-1 H-2819.5 Equal Employment Opportunity**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

Rating and reviewing officers and rated members must adhere to the EEO requirements as stated in 3 FAM 2814.

### **3 FAH-1 H-2819.6 Inadmissible Comments**

*(TL:POH-45; 10-24-1997)*

*(State Only)*

*(Applies to Foreign Service Only)*

The use of inadmissible comments is prohibited in all forms of evaluative material (3 FAM 2815).